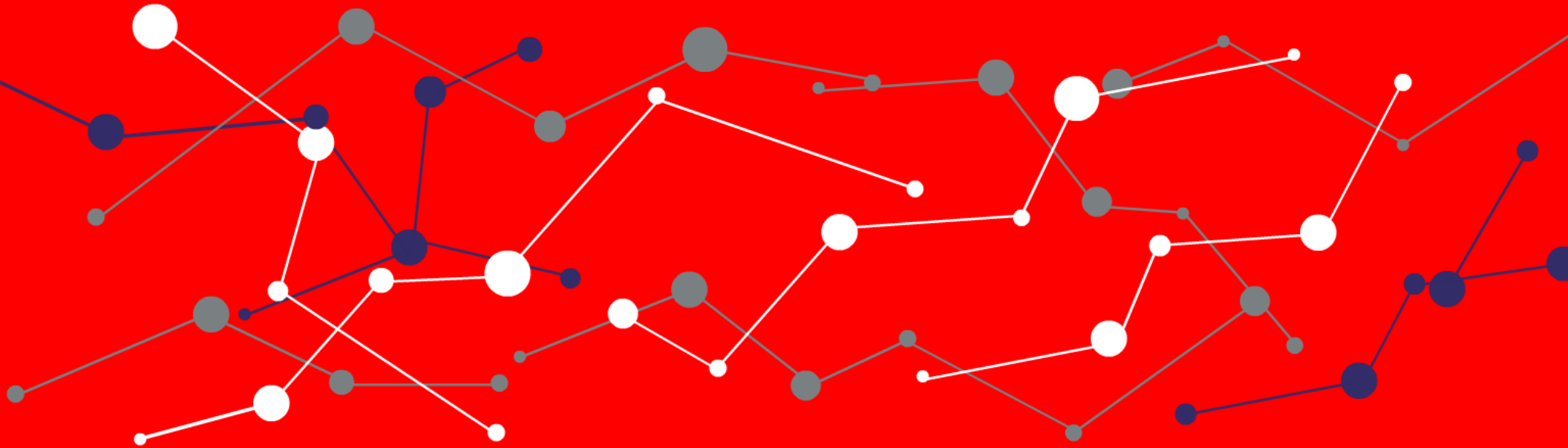


Process Mapping as a Best Practice: A Vehicle for Implementing Technology and Shaping a New Culture



Texas State Library and Archives Commission
E-RECORDS CONFERENCE 2016 - AUSTIN, TX
AT THE INTERSECTION OF TECHNOLOGY AND RECORDS MANAGEMENT

E-RECORDS CONFERENCE 2016



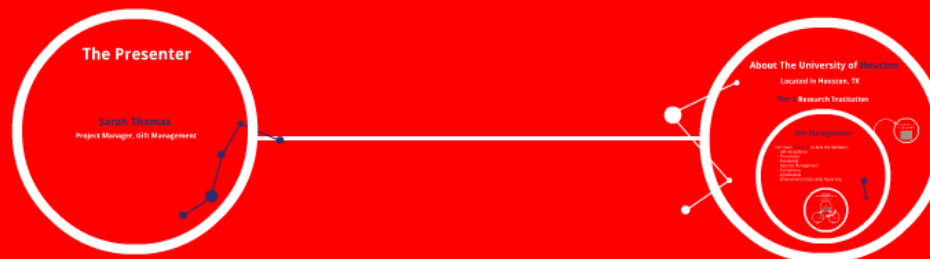
Process Mapping as a Best Practice

A Vehicle for Implementing Technology
and
Shaping a New Culture

Gift Management

To view Prezi please press http://prezi.com/ge7jfrsubagy/?utm_campaign=share&utm_medium=copy

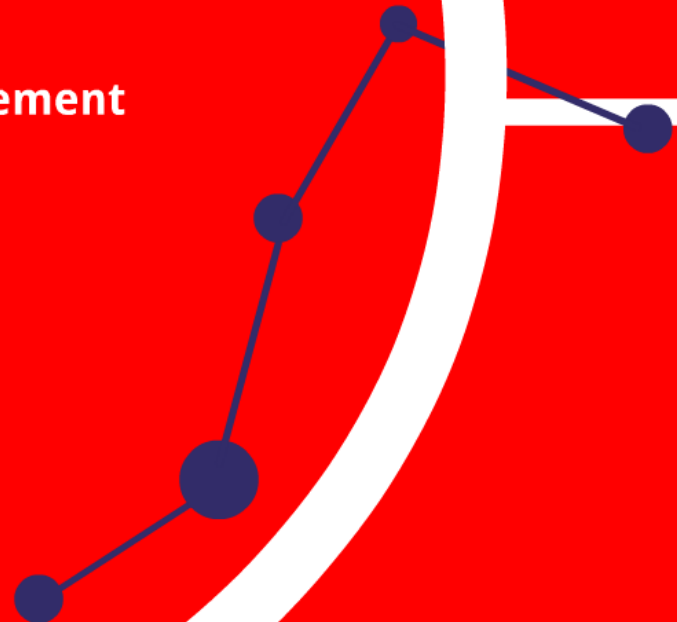
Introduction



The Presenter

Sarah Thomas

Project Manager, Gift Management



About The University of Houston

Located in Houston, TX

Tier 1 Research Institution

Gift Management

Our main functions include the following:

- Gift Acceptance
- Processing
- Receipting
- Records Management
- Compliance
- Agreements
- Endowment/Scholarship Reporting

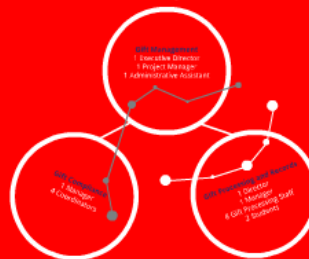


Gift Management

Our main functions include the following:

- Gift Acceptance
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- Records Management
- Compliance
- Agreements
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Gift Management
Encompasses
Gift Processing and Records
and
Gift Compliance



What Records Do We Manage?

All of The University of Houston
System's Donor Records

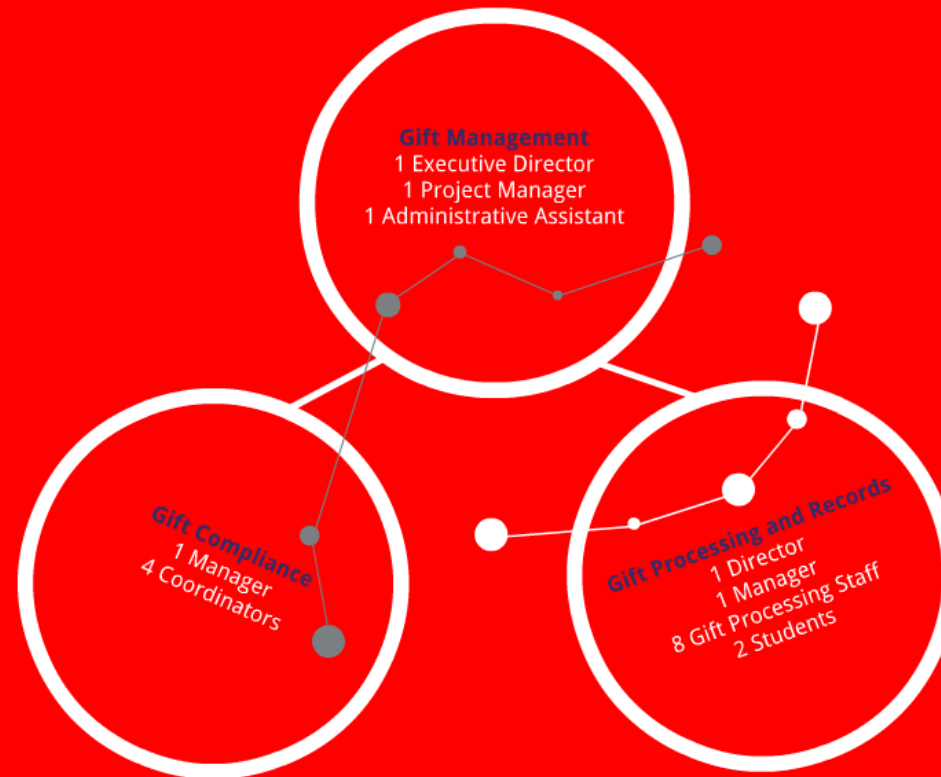


What Records Do We Manage?

All of The University of Houston
System's Donor Records



Gift Management Encompasses Gift Processing and Records and Gift Compliance





Gift Management

1 Executive Director

1 Project Manager

1 Administrative Assistant



Gift Compliance

1 Manager
4 Coordinators



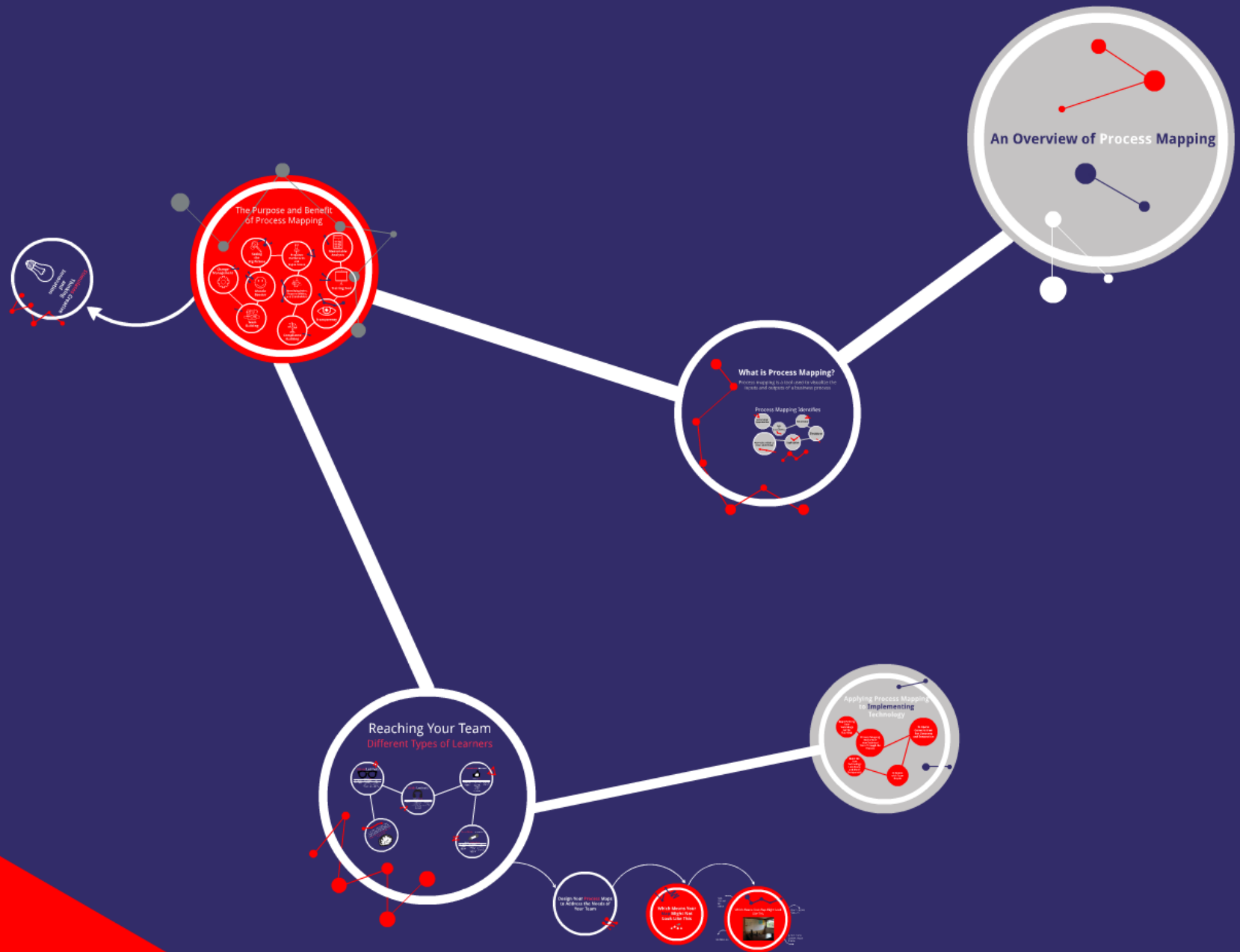
Gift Processing and Records

1 Director

1 Manager

8 Gift Processing Staff

2 Students



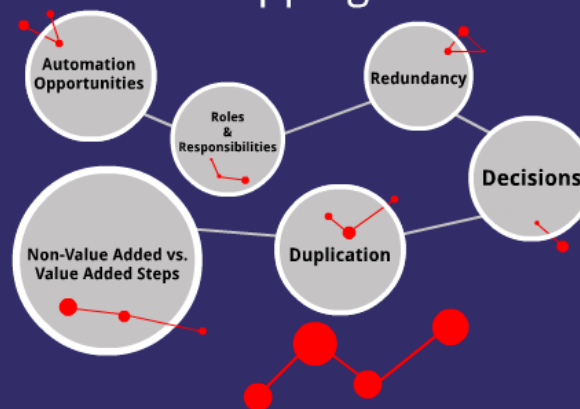


An Overview of Process Mapping

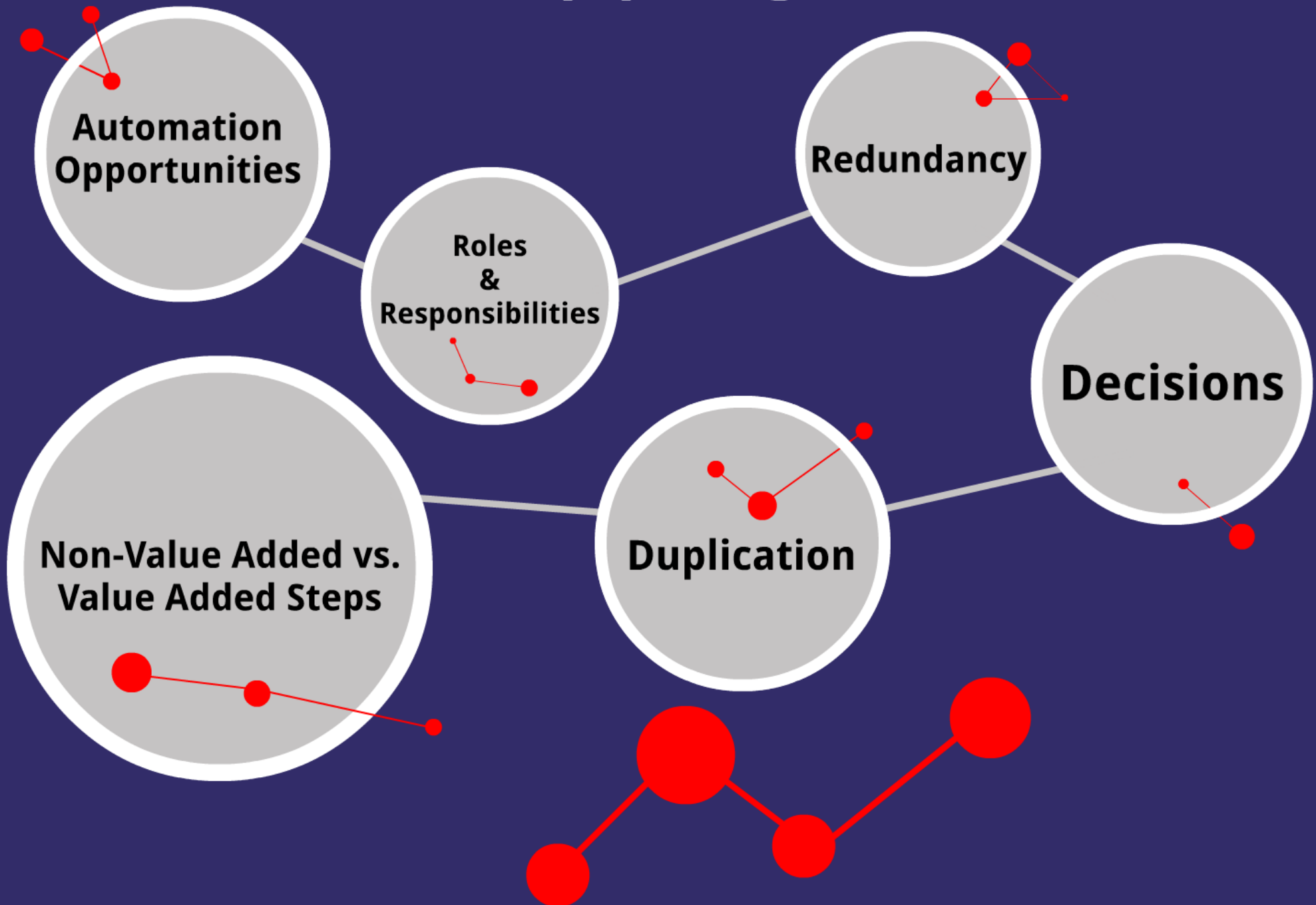
What is Process Mapping?

Process mapping is a tool used to visualize the inputs and outputs of a business process

Process Mapping Identifies



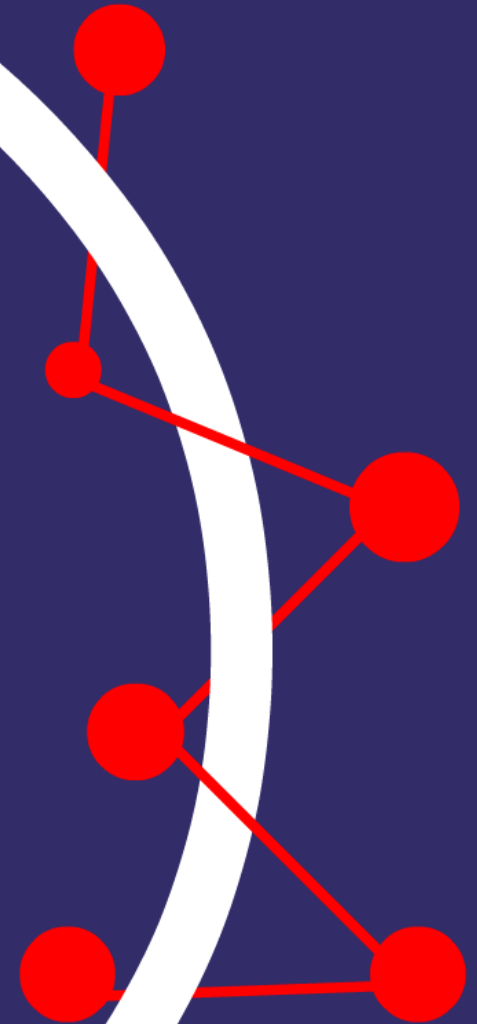
Process Mapping Identifies



The Purpose and Benefit of Process Mapping

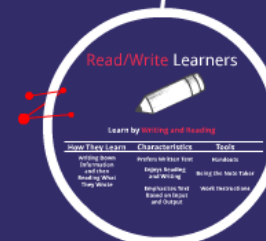
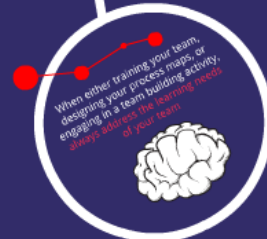



Stimulates Creative
Thinking
and
Innovation



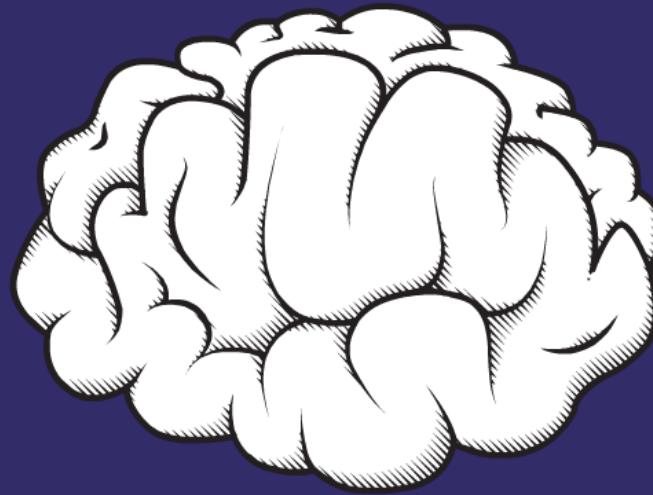
Reaching Your Team

Different Types of Learners



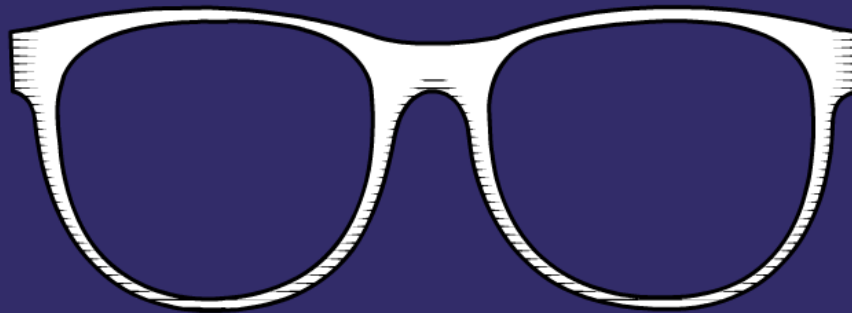


When either training your team,
designing your process maps, or
engaging in a team building activity,
**always address the learning needs
of your team**





Visual Learners



Learn by **Sight**

How They Learn	Characteristics	Tools
Pictures	Needs Quiet Time	Concept Maps
Written Languages	Fast Talker	Outlines
	Thinks in Pictures	Meeting Minutes
	Likes to Sit in Front	Visual Aids
	Takes Detailed Notes	Color Coding

Audio Learners



Learn by **Hearing**

How They Learn

Listening

Characteristics

Speaks Slowly

Natural Listener

Tends to Repeat Things Out Loud

Thinks Literally

Reads Slowly

Tools

Record Meetings

Group
Discussions

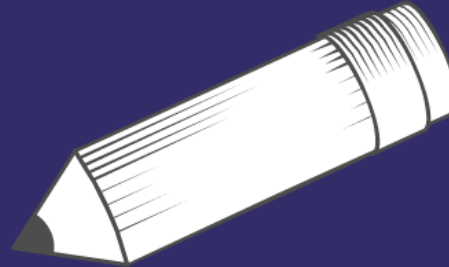
Kinesthetic Learners



Learn by **Doing**

How They Learn	Characteristics	Tools
Physical Activity	Tends to Talk Slow	Design Trainings or Activities that are Hands-On
Participating in the Process	Learns by Doing and Solving Real-Life Problems	
	Likes Hands-On Approaches	
	Can't Sit Still Long	

Read/Write Learners



Learn by **Writing and Reading**

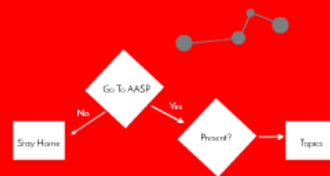
How They Learn	Characteristics	Tools
Writing Down Information and then Reading What They Wrote	Prefers Written Text Enjoys Reading and Writing Emphasizes Text Based on Input and Output	Handouts Being the Note Taker Work Instructions

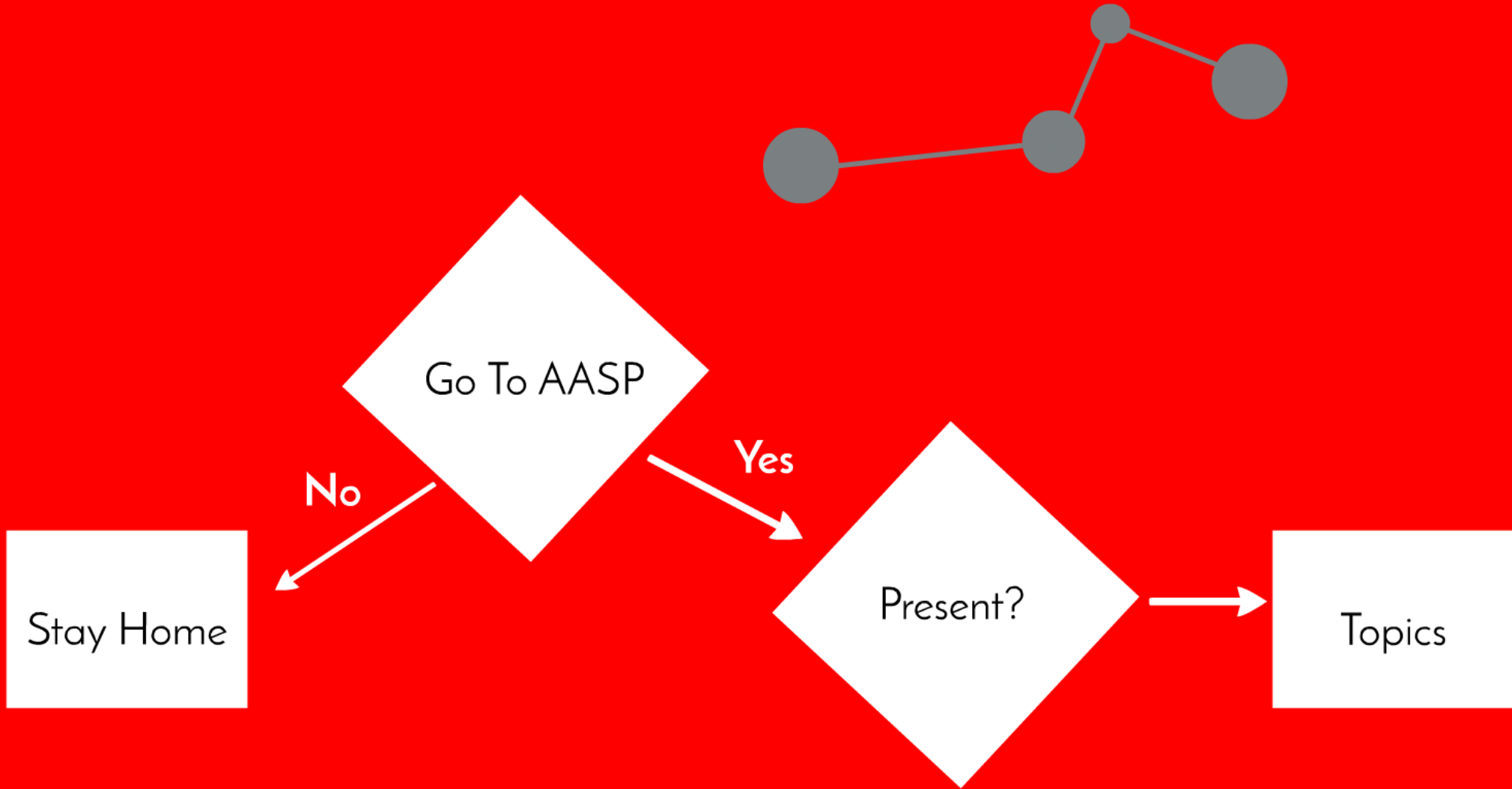


Design Your **Process Maps
to Address the Needs of
Your Team**



Which Means Your
Map Might Not
Look Like This





TOO MUCH
STRUCTURE CAN
HINDER
CREATIVITY

Which Means Your Map Might Look
Like This



DO WHAT FITS YOUR
LEARNING STYLE

FOR TEAM ACTIVITIES
WORRY ABOUT PROFESSIONAL
METHODOLOGY

CREATE YOUR OWN STYLE

Applying Process Mapping to **Implementing** Technology

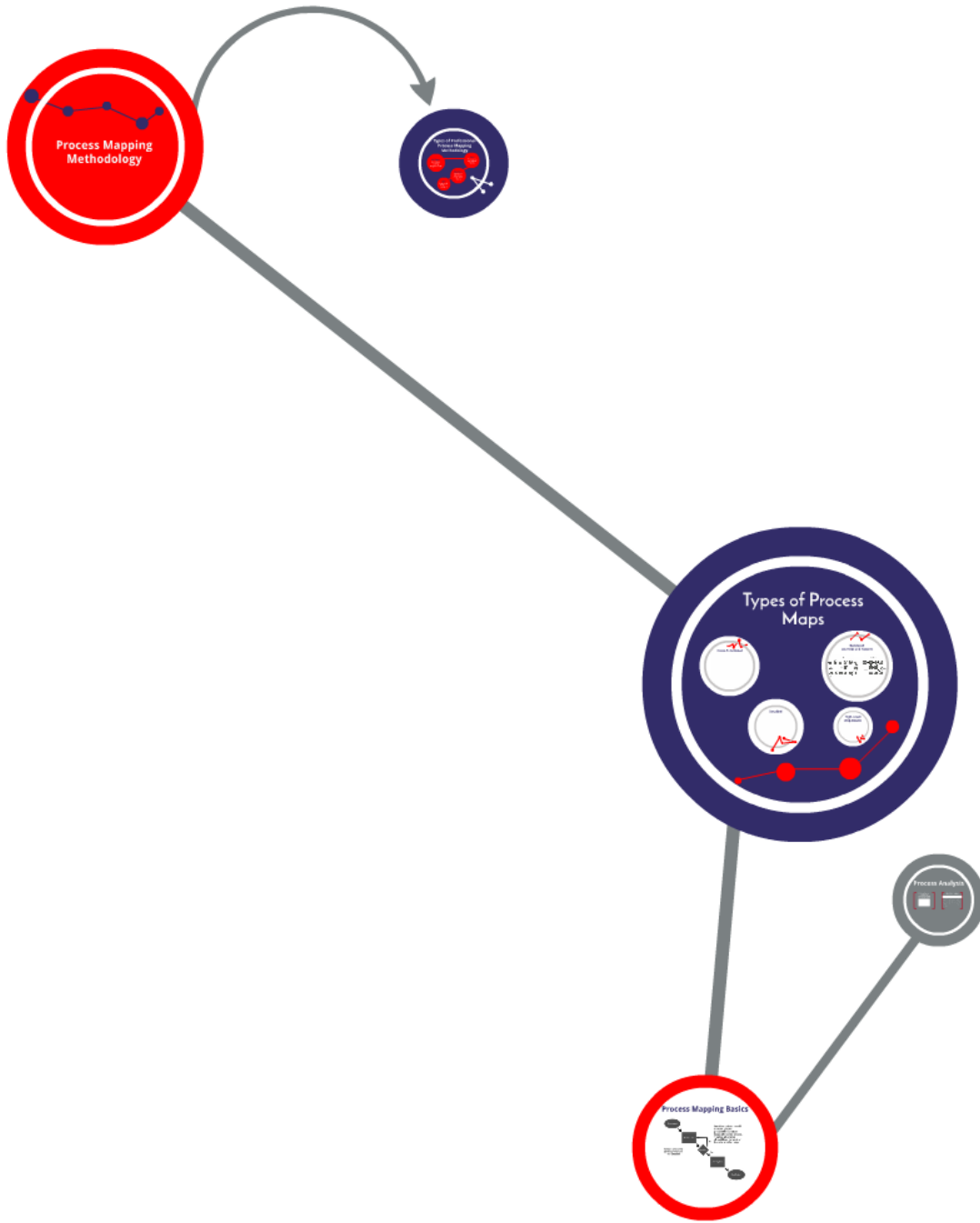
Implementing
New
Technology
can be
Daunting

Process Mapping
Walks Your
Non-Technical
Team Through the
Process

It Opens
Conversation
For Concerns
and Innovation

Make the
New
Technology
Less Scary
and More
Transparent

It Assists
with Team
Buy-In



A large red circle with a thick white border. Inside the circle, there is a line graph with five blue dots connected by a dark blue line. The dots are positioned at approximately (15, 20), (30, 30), (50, 25), (70, 40), and (85, 30) in a 0-100 coordinate system where (0,0) is the top-left. The text "Process Mapping Methodology" is centered in the circle.

Process Mapping Methodology

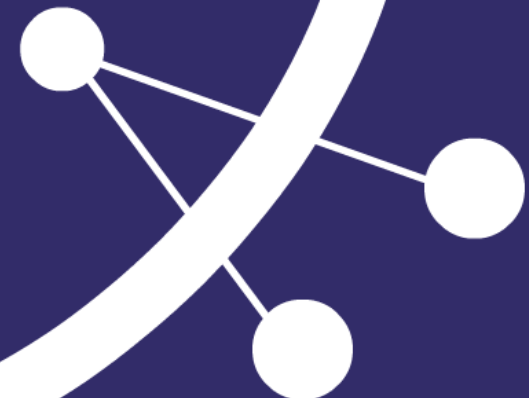
Types of Professional Process Mapping Methodology

Six Sigma-
Focuses on
Quality
Improvement

Lean-
Focuses on
Eliminating
Waste

TQM (TQC)-
Focuses on
Reduce Loss
and Increase
Quality

Agile-
Incremental
Work and
Feedback



Types of Process Maps

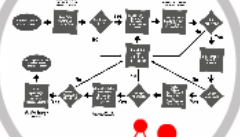
Cross-Functional



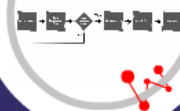
**Rendered
(Current and Future)**



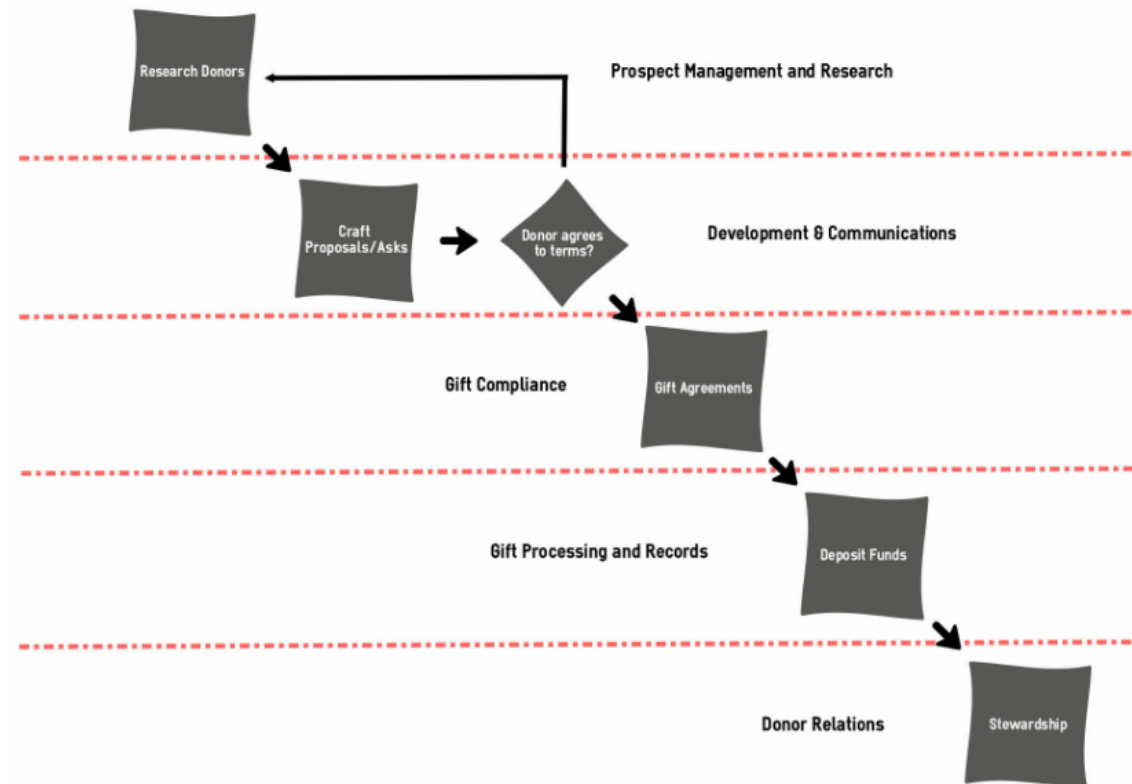
Detailed



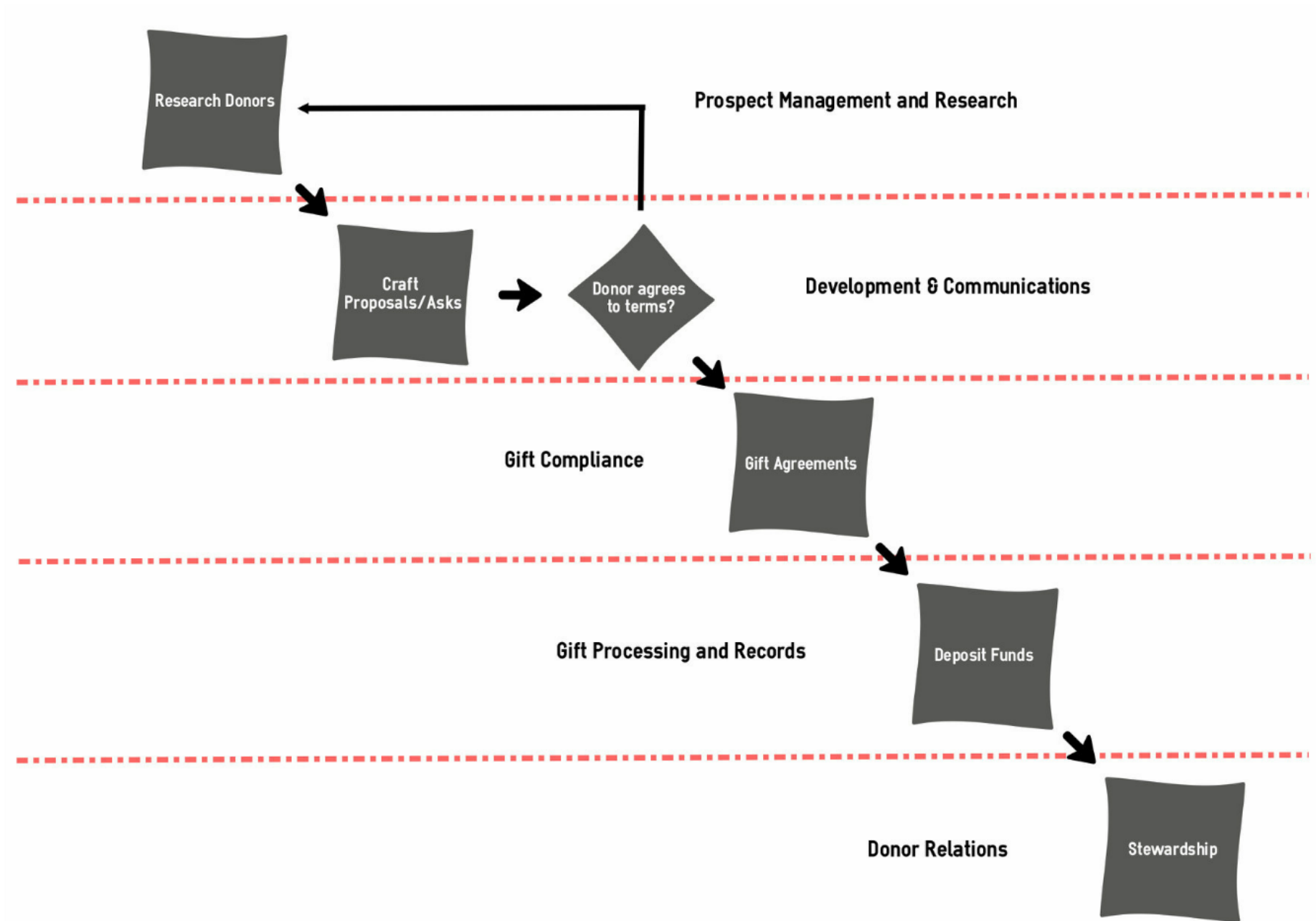
**High-Level
(Top-Down)**



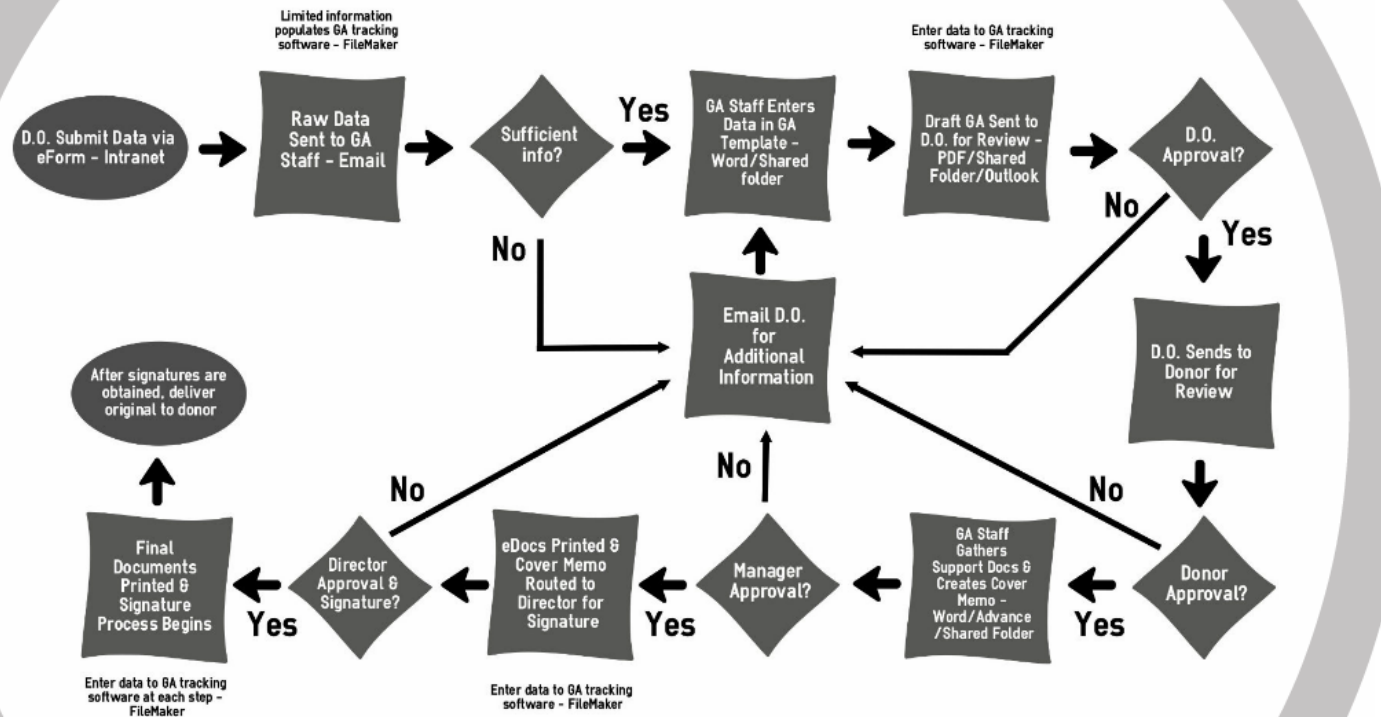
Cross-Functional

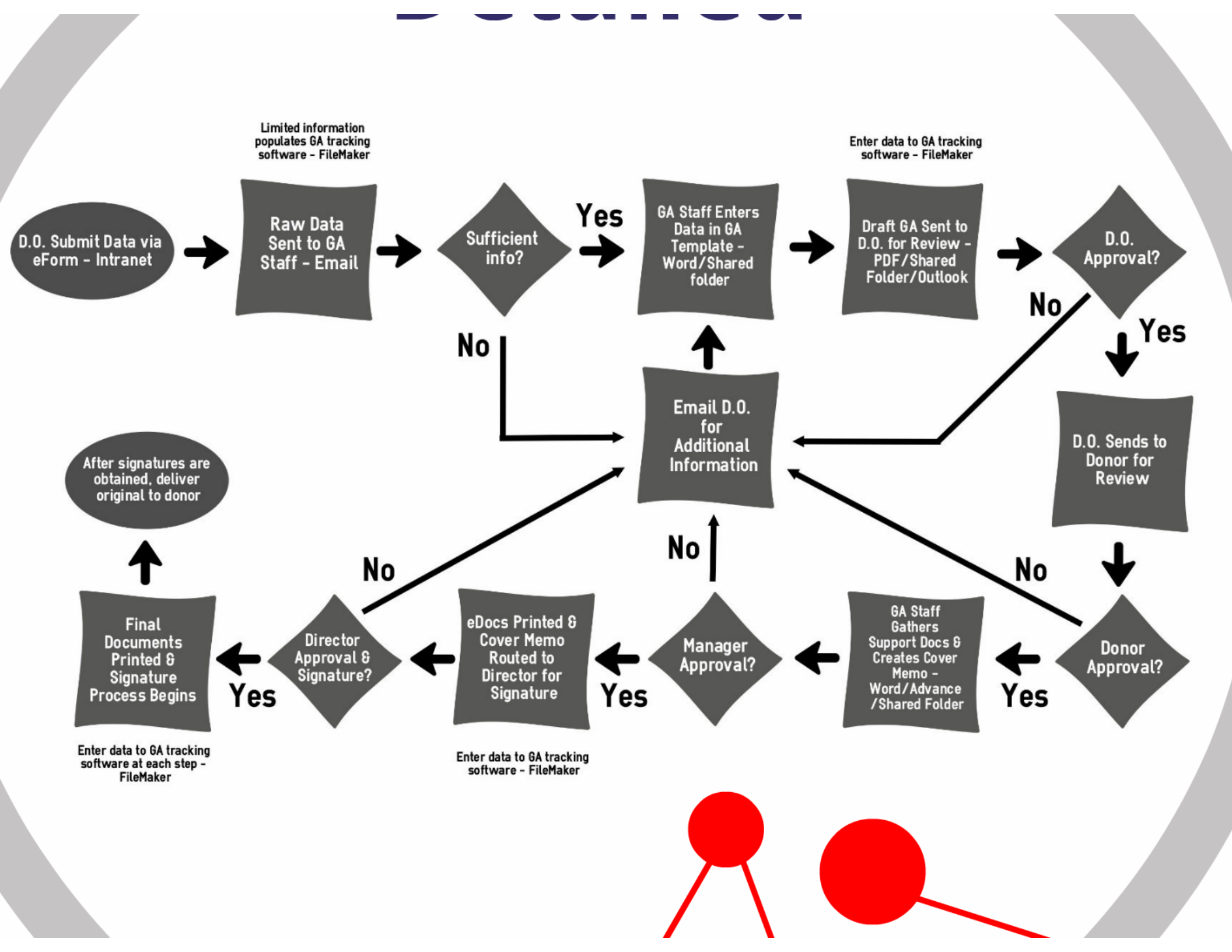


Cross-Functional

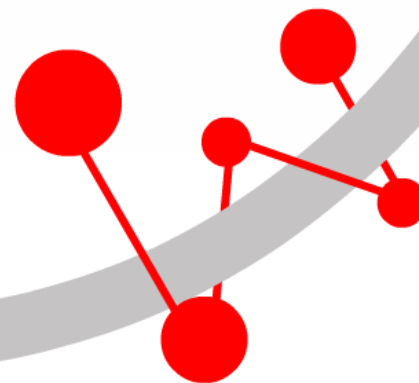
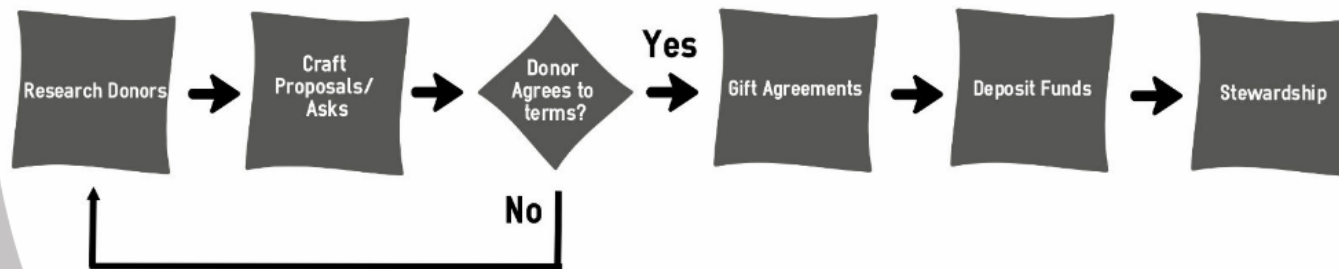


Detailed

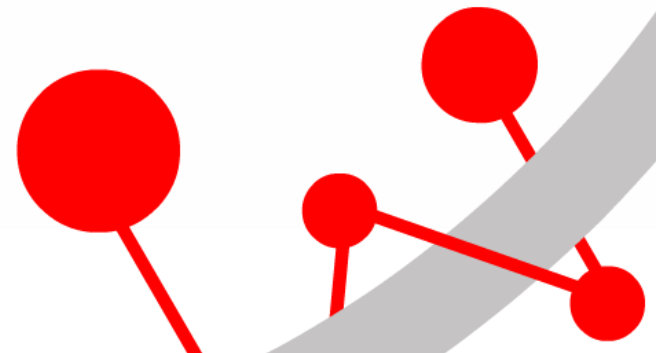
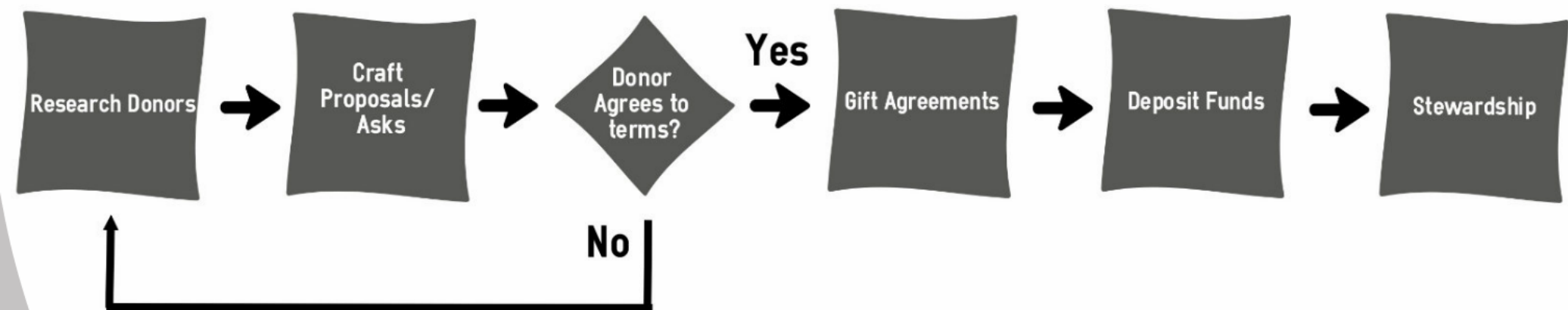




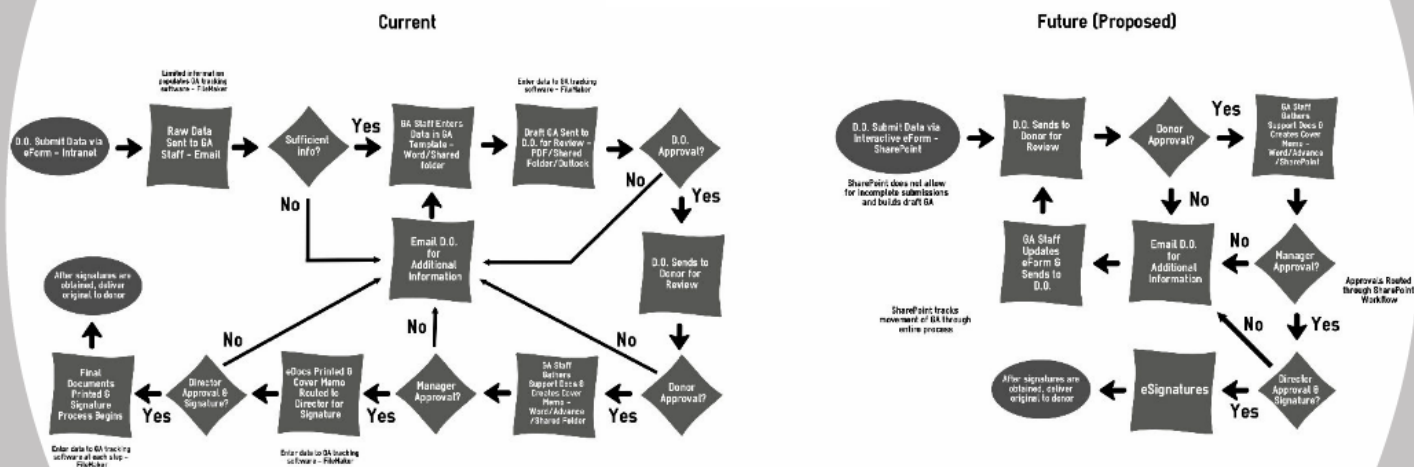
High-Level (Top-Down)



(Top-Down)

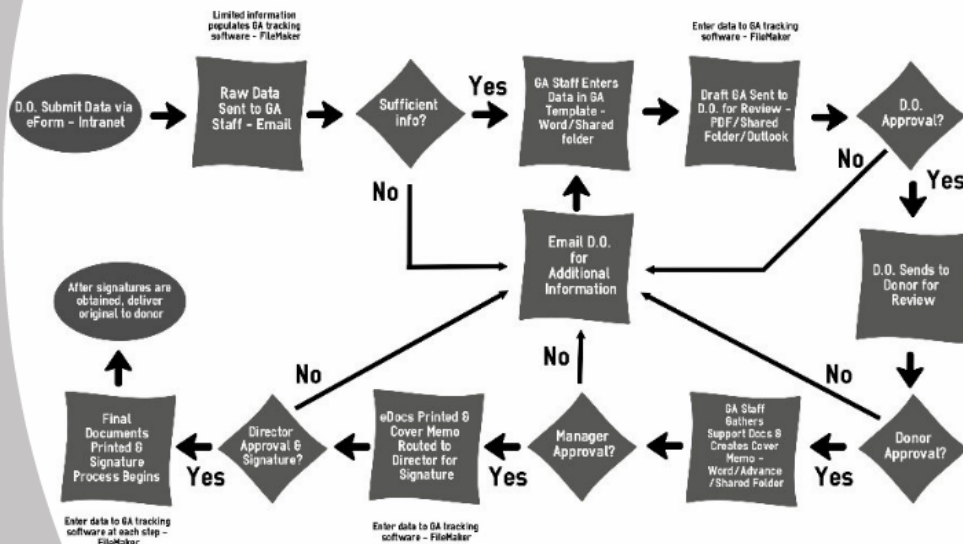


Rendered (Current and Future)

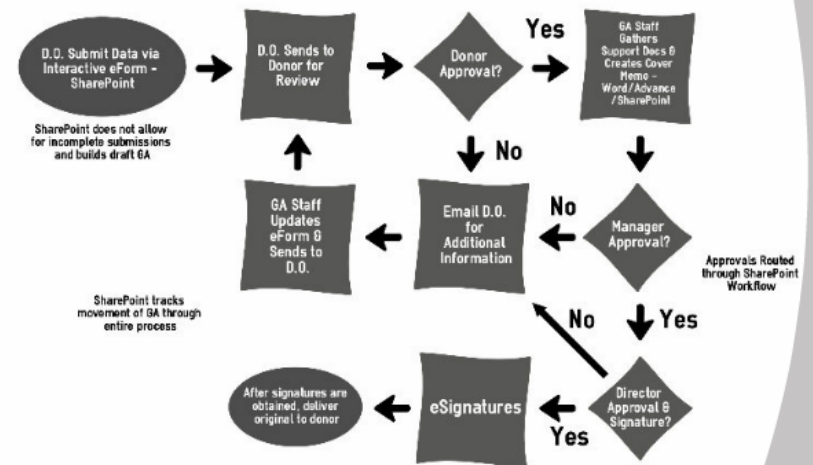


Rendered (Current and Future)

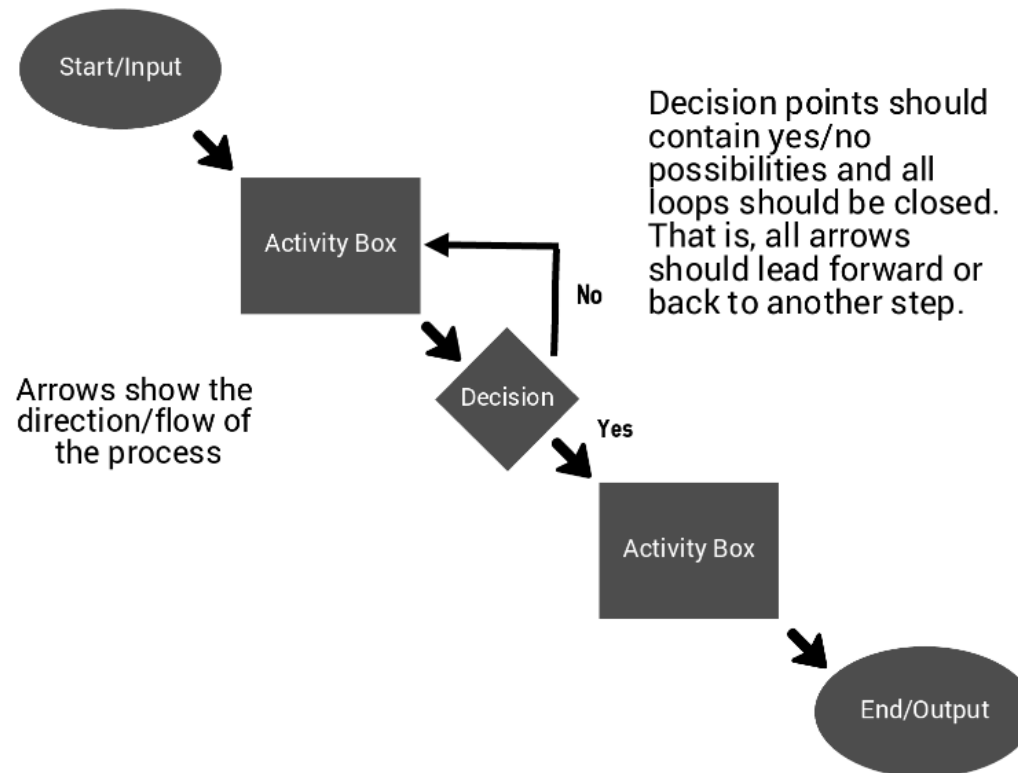
Current



Future (Proposed)

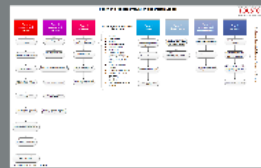


Process Mapping Basics



Process Analysis

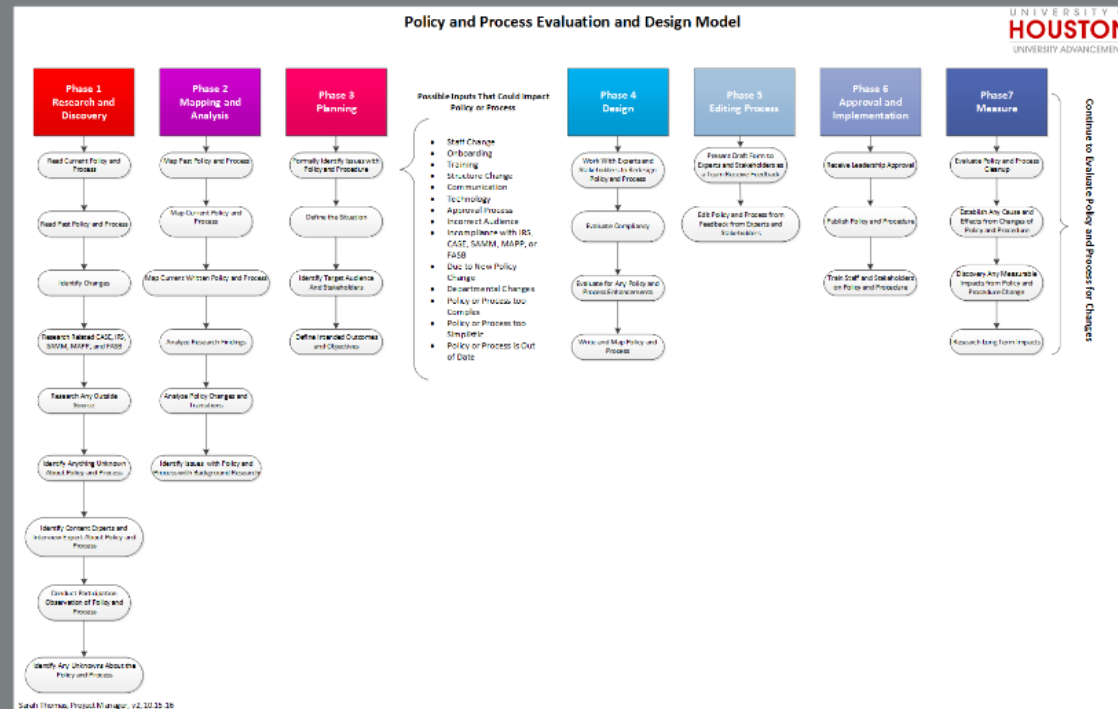
Detailed Process Evaluation and Design Model



Workflow Analysis

Identify	Understand	Selection Factors
Bottlenecks	What it is?	Ability to Fix
Source of Delay	Who needs it?	Time
Rework Due to Errors	Where do you use it?	Cost Factors
Cycle Time	When do you use it?	Team Culture
Duplication Efforts	Purpose and Benefit	Training
Unnecessary Steps	Impact to Stakeholders	Resources
Automation Opportunities	Why are we doing this?	Impact to Donors
Role Ambiguity		Overall Impact
Stakeholders Roles		Impact to Stakeholders
Cause and Effect		

Detailed Process Evaluation and Design Model



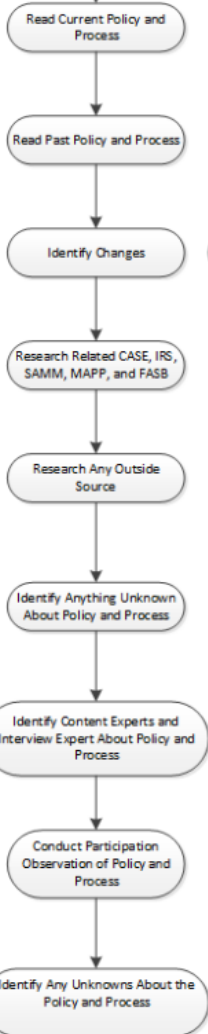
Policy and Process Evaluation and Design Model

Continue to Evaluate Policy and Process for Changes

Possible Inputs That Could Impact Policy or Process

- Staff Change
- Onboarding
- Training
- Structure Change
- Communication
- Technology
- Approval Process
- Incorrect Audience
- Incompliance with IRS, CASE, SAMM, MAPP, or FASB
- Due to New Policy Change
- Departmental Changes
- Policy or Process too Complex
- Policy or Process too Simplistic
- Policy or Process is Out of Date

Phase 1 Research and Discovery



Phase 2 Mapping and Analysis



Phase 3 Planning



Phase 4 Design



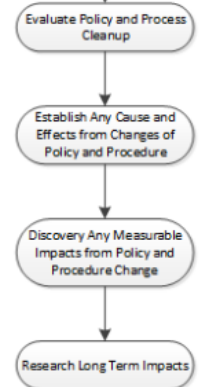
Phase 5 Editing Process



Phase 6 Approval and Implementation

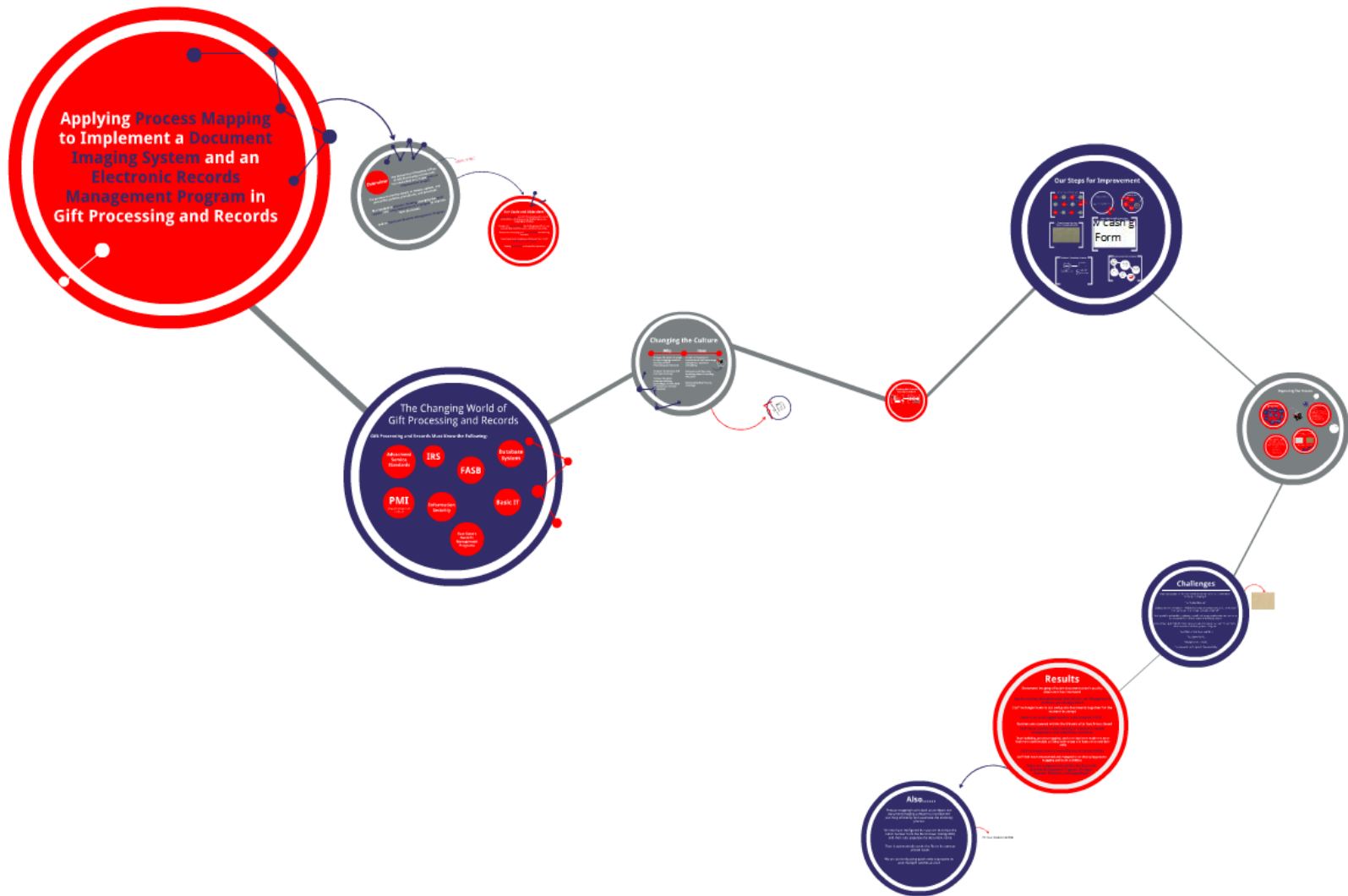


Phase 7 Measure



Workflow Analysis

Identify	Understand	Selection Factors
Bottlenecks	What it is?	Ability to Fix
Source of Delay	Who needs it?	Time
Rework Due to Errors	Where do you use it?	Cost Factors
Cycle Time	When do you use it?	Team Culture
Duplication Efforts	Purpose and Benefit	Training
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Role Ambiguity		Overall Impact
Stakeholders Roles		Impact to Stakeholders
Cause and Effect		





**Applying Process Mapping
to Implement a Document
Imaging System and an
Electronic Records
Management Program in
Gift Processing and Records**



Overview

The University of Houston, Office of Gift Processing and Records has embarked on a 3 year **process improvement project**

The process started to simply to review, update, and streamline policies, procedures, and processes

But resulted in **abstract thinking**, changing the **team culture**, and using **innovative technologies** to improve their processes

And an **Electronic Records Management Program**

CURRENTLY



Our Goals and Objectives

Review and update our Gift Processing and Records procedures and processes by deploying process mapping techniques

Change our team's culture by challenging staff to step outside their comfort zones and think creatively

Use process mapping as a **team building** and training exercise

Develop process mapping techniques that would address our staff's needs

Deploy **technology** to streamline processes

The Changing World of Gift Processing and Records

Gift Processing and Records Must Know the Following:

Advacment
Service
Standards

IRS

FASB

Database
System

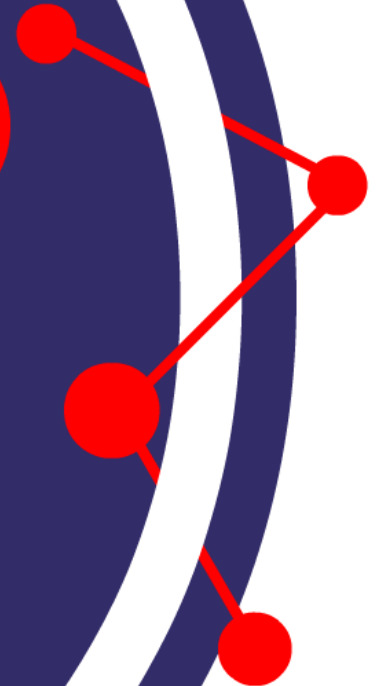
PMI

(Project Management
Institute)

Information
Security

Basic IT

Your State's
Records
Management
Programs



Changing the Culture

Why

To have the team to adapt to the changing trends in the field of Gift Processing and Records

To spark innovation and harness creativity

To have the team embrace utilizing technology in their daily processes to increase efficiencies

How

Create a transparent environment and encourage everyone to question everything

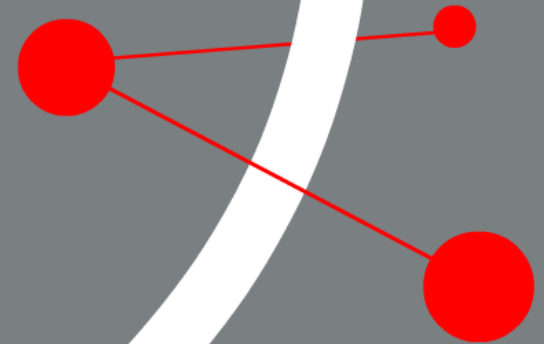
Enhance team buy-in by involving them in creating the plans

Conduct Weekly Process Meetings

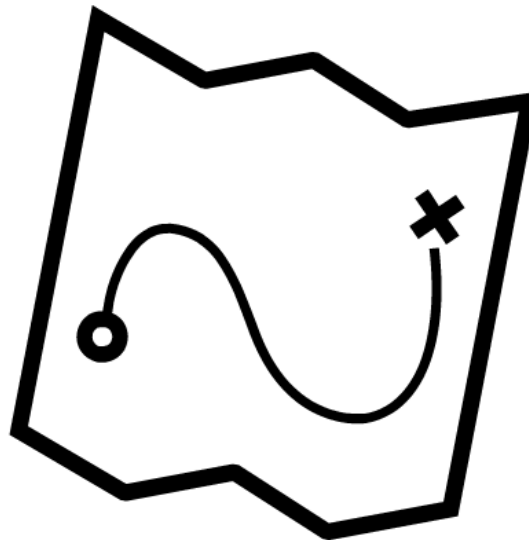


Question Everything!

If we don't know **WHY** we do something,
then question the process!



**And
Of Course Process Mapping**



Starting the Process for Improvement

Preliminary Research

- 1 Participant Observation
- 2 Interviewing Staff
- 3 Reviewing University, State, Federal, and Industry Standards
- 4 Review all Departmental Work Instructions, Policies, and Previous Process Maps
- 5 Staff Role Analysis
- 6 Time Study

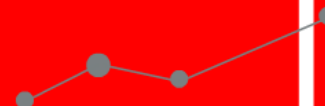


Developing Our Factors for Selecting a Process to Focus On

Align with Our
Priorities

Impact of
Inefficiencies

Big Bang Factor



Preliminary Research

- 1 Participant Observation
- 2 Interviewing Staff
- 3 Reviewing University, State, Federal, and Industry Standards
- 4 Review all Departmental Work Instructions, Policies, and Previous Process Maps
- 5 Staff Role Analysis
- 6 Time Study

Name: Linda Lee						
GPR Time Study						
	8/10/2015	8/11/2015	8/12/2015	8/13/2015	8/14/2015	Notes
7:00-7:15						
7:15-7:30						
7:30-7:45						
7:45-8:00						
8:00-8:15	Recapting Process:	Recapting process:	Recapting process:	Recapting Process:	Recapting process:	
8:15-8:30	Printing Reports and	"		* Large Number of Receipts		
8:30-8:45	Journals		"	Due to the ATH Batches		
8:45-9:00	Verifying Batches and	"				
9:00-9:15	Inserting People Soft Journals			"	"	
9:15-9:30	Printing Receipts		"			
9:30-9:45	&	"				
9:45-10:00				"		
10:00-10:15	Verifying Receipts				"	
10:15-10:30	&	"				
10:30-10:45			"		Process July Payroll Deduction batches	
10:45-11:00	Folding and Stuffing	Reviewing Campus	Processing ATH Batches			
11:00-11:15	Receipts and Taking	Payroll Deduction Report		"		
11:15-11:30	Take the Mail Room	for JUNE 2015			"	

Time Study

Name: Linda Lee

GPR Time Study

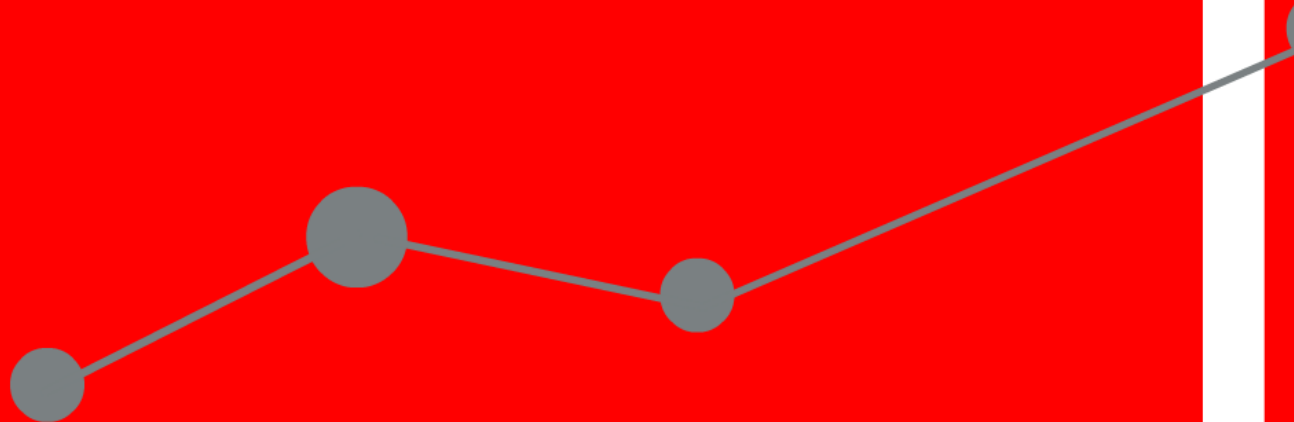
	8/10/2015	8/11/2015	8/12/2015	8/13/2015	8/14/2015	Notes
7:00-7:15						
7:15-7:30						
7:30-7:45						
7:45-8:00						
8:00-8:15	Receipting Process:	Receipting process:	Receipting process:	Receipting Process:	Receipting process:	
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8:30-8:45	Journals		"	Due to the ATH Batches		
8:45-9:00	Verifying Batches and	"				
9:00-9:15	Inserting People Soft Journals			"	"	
9:15-9:30	Printing Receipts		"			
9:30-9:45	&	"				
9:45-10:00				"		
10:00-10:15	Verifying Receipts				"	
10:15-10:30	&	"				
10:30-10:45			"		Process July Payroll Deduction batches	
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11:00-11:15	Receipts and Taking	Payroll Deduction Report		"		
11:15-11:30	Take the Mail Room	for JUNE 2015			"	

Developing Our Factors for Selecting a Process to Focus On

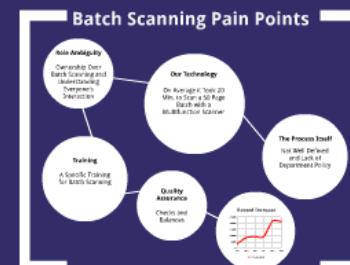
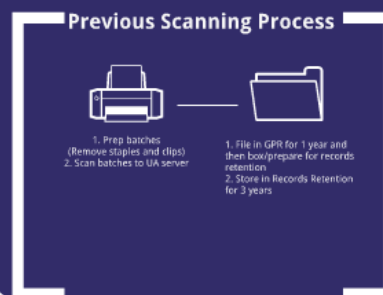
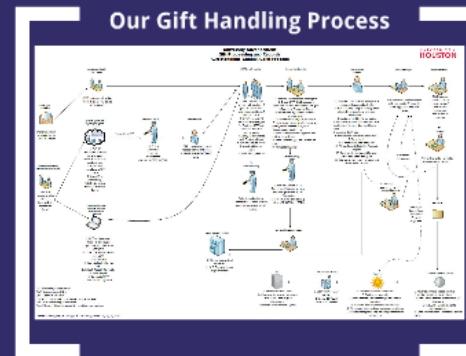
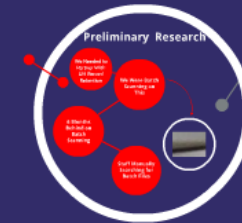
**Align with Our
Priorities**

**Impact of
Inefficiencies**

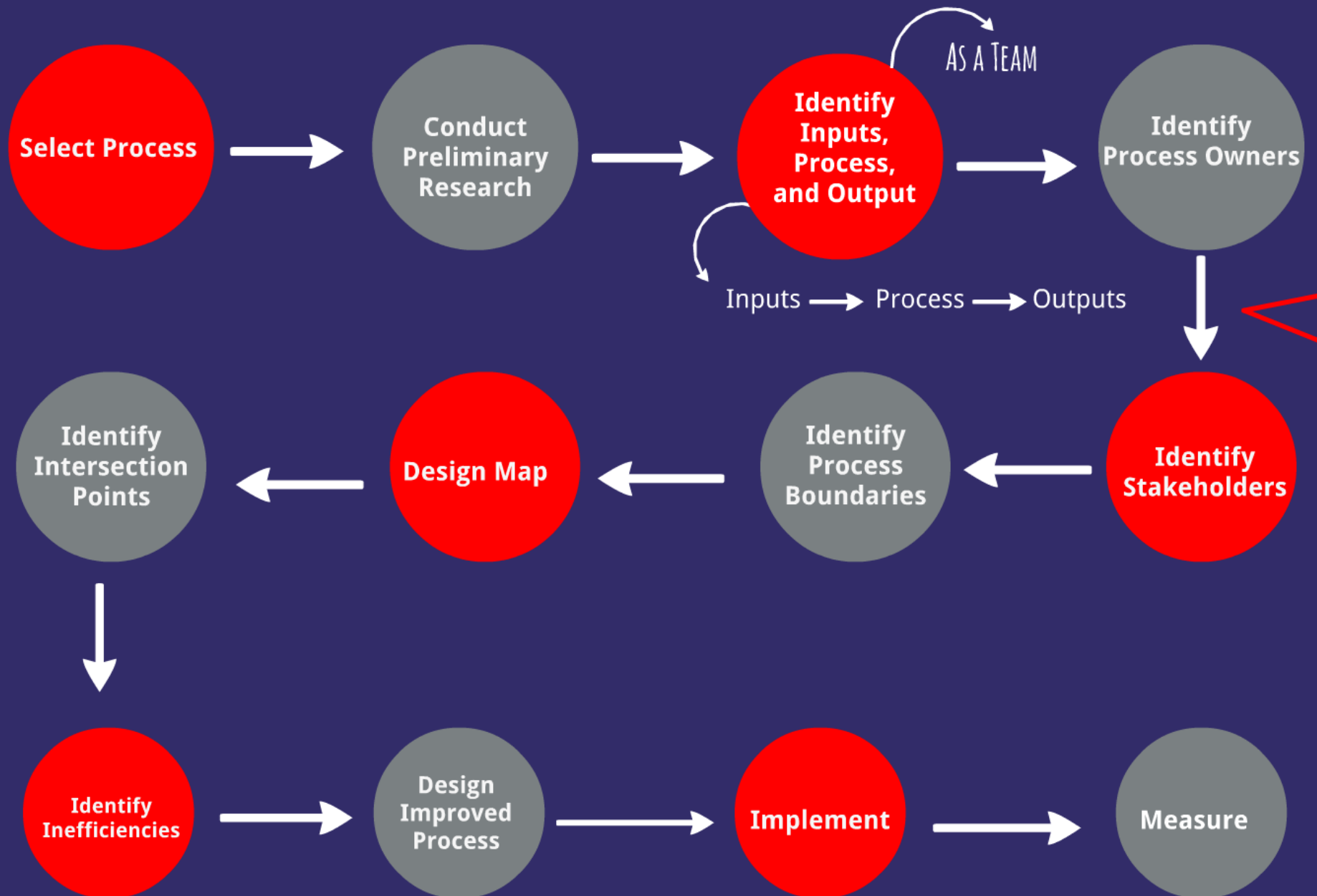
Big Bang Factor



Our Steps for Improvement



Our General Method to Process Mapping



Selecting the Process

The first process we chose to analyze was our gift handling process to focus on batch scanning

Preliminary Research

We Needed to Partner With UH Record Retention

We Were Batch Scanning on This

6 Months Behind on Batch Scanning

Staff Manually Searching for Batch Files





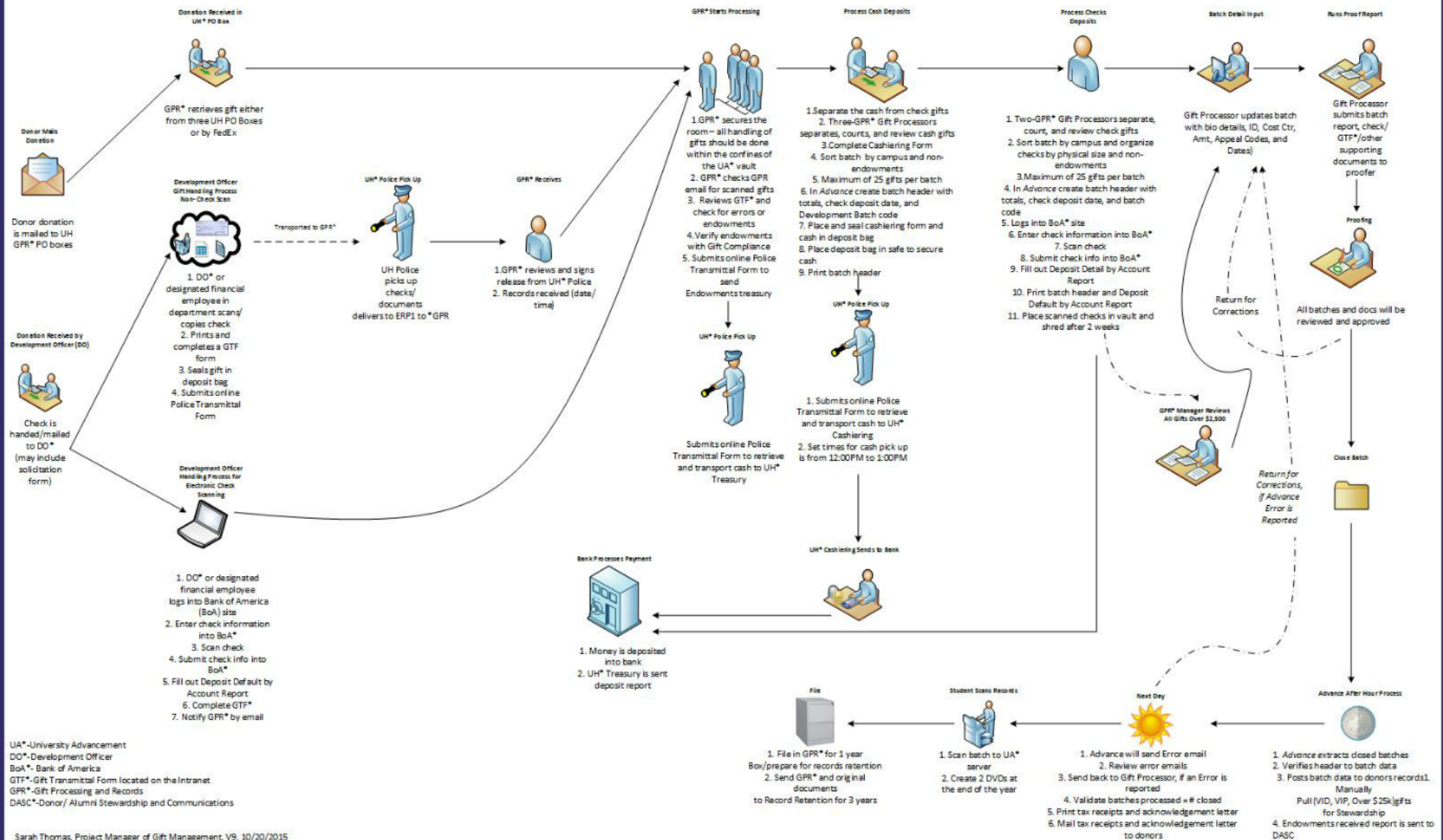
Team Process Mapping The Gift Handling Process



Our Gift Handling Process

University Advancement Gift Processing and Records Gift Handling- Checks/Cash Process

UNIVERSITY OF
HOUSTON



UA*-University Advancement
DO*-Development Officer
BoA*- Bank of America
GTF*-Gift Transmittal Form located on the Intranet
GPR*-Gift Processing and Records
DASC*-Donor/ Alumni Stewardship and Communications

Sarah Thomas, Project Manager of Gift Management, VS, 10/20/2015

Previous Scanning Process



1. Prep batches
(Remove staples and clips)
2. Scan batches to UA server



1. File in GPR for 1 year and then box/prepare for records retention
2. Store in Records Retention for 3 years

Batch Scanning Pain Points

Role Ambiguity

Ownership Over
Batch Scanning and
Understanding
Everyone's
Interaction

Our Technology

On Average it Took 20
Min. to Scan a 50 Page
Batch with a
Multifunction Scanner

The Process Itself

Not Well Defined
and Lack of
Department Policy

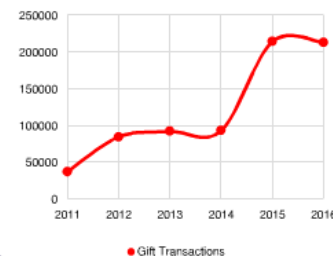
Training

A Specific Training
for Batch Scanning

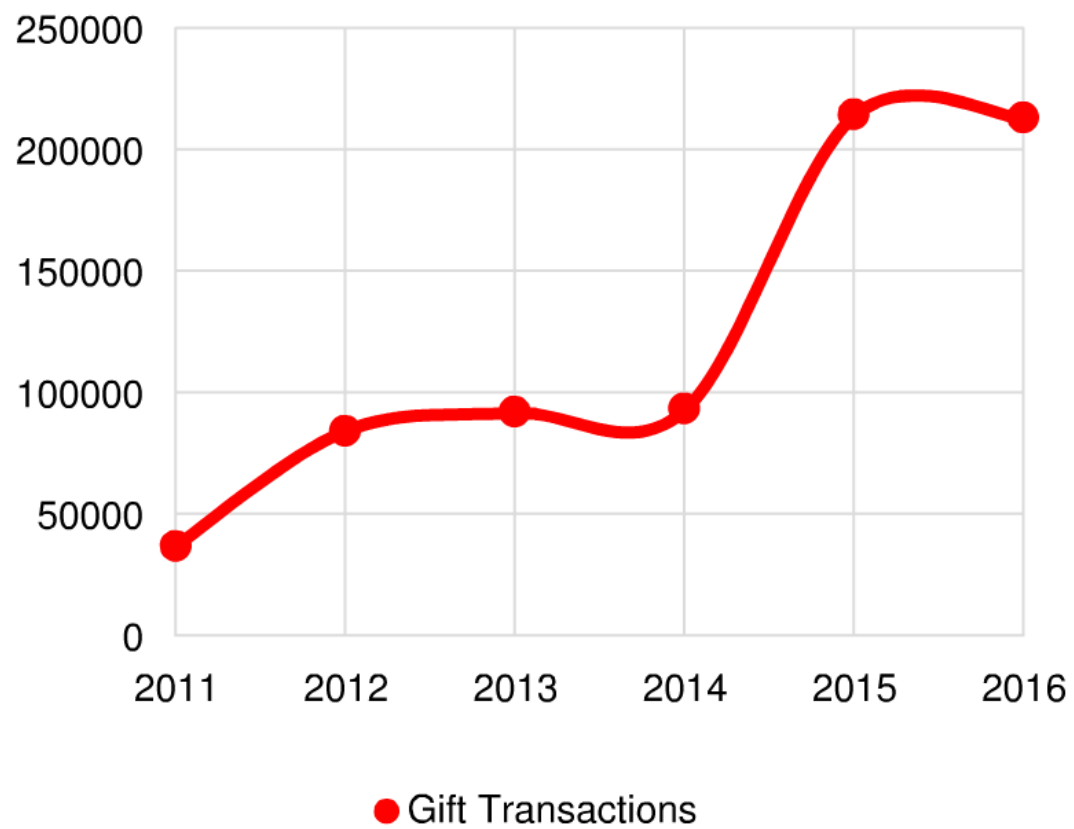
Quality Assurance

Checks and
Balances

Record Increase

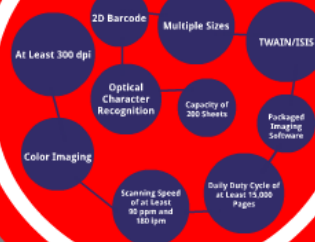


Record Increase



Improving The Process

Purchase a Scanner with the following requirements



Developing an Electronic Records Management Program

1. Designing a Batch Scanning Process and Map
2. Review Institutional, State, and Federal Standards
3. Design Electronic Record Management, Scanner, and Document Imaging Training
4. Assign Roles within the Electronic Records Management Program
5. Design a Batch Certification Checklist
6. Start Scanning Batches Daily Starting in FY17
7. Designing a Document Management Policy

Implementing New Technology



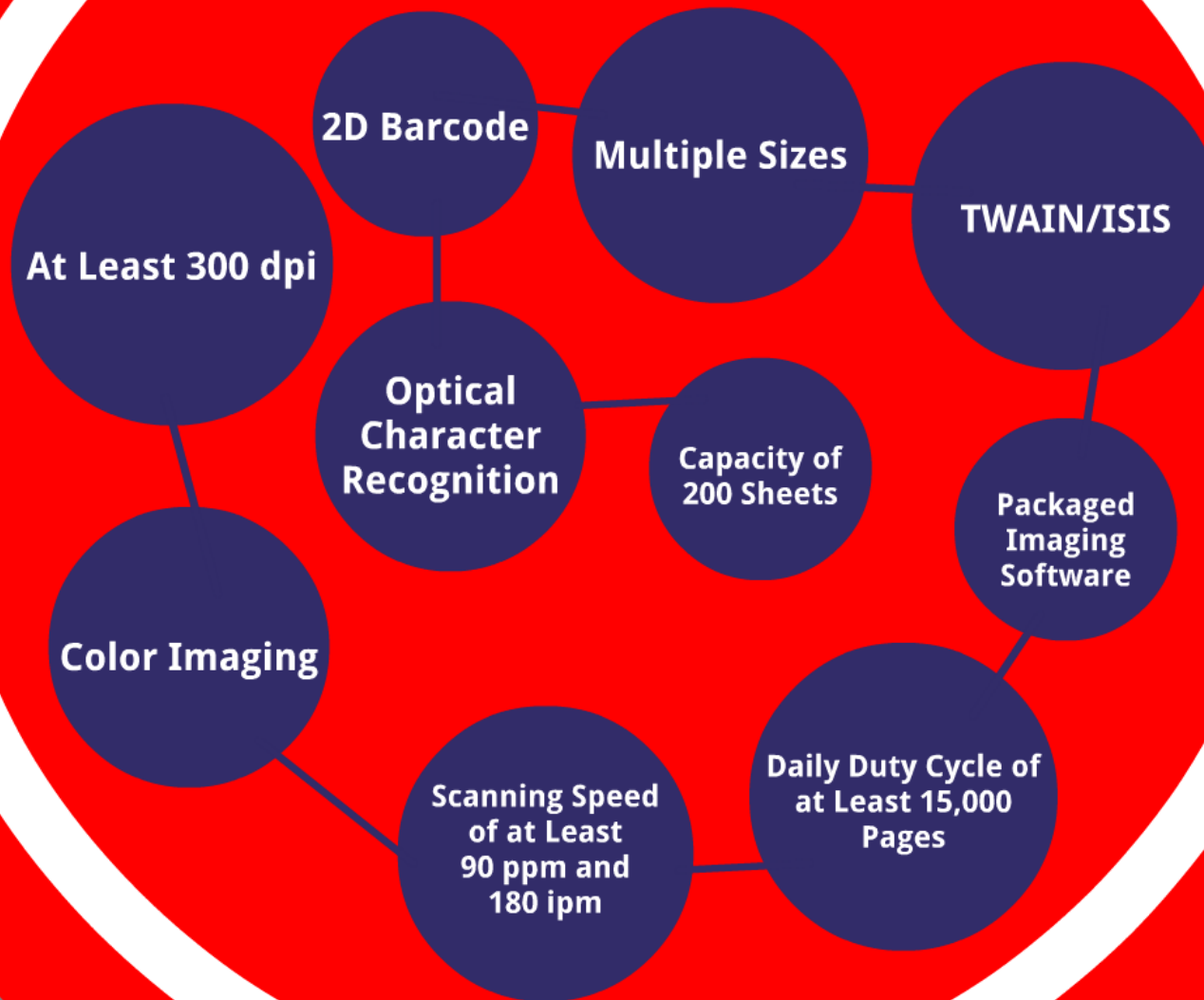
Out with the old and in with the new

Preparing Staff for Change

- Weekly Process Mapping and Policy Review Meetings
- Encouraged the Staff to Create an Implementation Process for Electronic Records Management Program
- Designing Process Maps to Deploy Technology That are Not for IT Staff
- Allowing for Trial and Error
- Training, Training, Training
- Open and Honest Conversations
- Having an Implementation Plan

Purchase a Scanner

with the following requirements



Team's **Feelings** About Document Imaging

Ok, I am Not
Comfortable
With This!

Ok, I am Comfortable
With This as Long as I
Don't Have to Use it
Ever!

Ok, It's Just a
Scanner!

Oh, This is Pretty Cool!

Implementing **New** Technology



Out with the old and in with the new

Developing an Electronic Records Management Program

- 1. Designing a Batch Scanning Process and Map**
- 2. Review Institutional, State, and Federal Standards**
- 3. Design Electronic Record Management, Scanner, and Document Imaging Training**
- 4. Assign Roles within the Electronic Records Management Program**
- 5. Design a Batch Certification Checklist**
- 6. Start Scanning Batches Daily Starting in FY17**
- 7. Designing a Document Management Policy**

The Document Imaging Process



The Office of Gift Processing and Records The Document Imaging Process

Pre-Prepping Process



Step 1: GPR staff reviews the batch for any confidential information and redacts the following:

- Credit Card Numbers
- Social Security Number
- Driver's License Number
- Checking Account and Routing Number
- Birthdate

Step 2: Place documents in the following order:

1. Journal Entry
2. Batch Header
3. Deposit Summary
4. Receipt Order with Summary
5. Proof Report

Note: Proof Reports should only be included for HPM, Payroll, and Athletics. There is not a document order for batch modifications

Step 3: After the receipting process, batches should be placed in the "To Be Scanned Draw"

The Prepping Process



Step 1: Remove staples and paperclips

Step 2: Remove sticky-notes that are not needed and any papers that should not be included in the batch. Batch must have any documentation that relates to the following:

- Correspondence
- Agreements
- Batch Information
- Requests
- Contracts
- Guidance Documents

Step 3: Review document for any information that must be redacted and the document order

Step 4: Place "Batch Certification Checklist" in folder, count pages in batch, place batch number on top, place batch number on top, check off the completed steps, and sign

Step 5: Hand to the person who will scan

Start The Scanning Process



Step 1: Login into Paper Stream Capture

Step 2: The review preparation process

Step 3: Place file folder with batch facing down, horizontal to the scanner, the smaller papers on top, and press scan

Step 4: Review scan for quality, remove blank pages, and rotate pages to correct angle

Step 5: Review scan for quality remove blank pages, and rotate pages to correct angle

Step 6: Verify scanned page numbers

Step 7: Verify that the electronic document is accessible and that the file can open

Step 8: Electronically sign document

Step 9: Stamp folder "Scanned"

Step 10: Hand to the person who reviews the batches

Review and Release Scan



Step 1: Staff reviews the batch and checks the batch against the electronic document for errors and compliance

Step 2: After reviewing the electronic document, staff electronically signs the "Batch Certification Checklist"

Step 3: Stamp folder "Approved"

Step 4: Place file in filing cabinet

Batch Certification Checklist

UNIVERSITY of HOUSTON | UNIVERSITY ADVANCEMENT

Batch Certification Checklist

Batch Number: _____ Total Pages: _____

Preparation

- ☐ Paper and binder clips have been removed
- ☐ Any objects that are obstructing the document information has been approved and been removed
- ☐ Social Security Number, Drivers Licenses, Birth Date, Checking Account Number, and Credit Card Number has been redacted
- ☐ Pages of the batch has been counted
- ☐ The batch has been placed in the following order:
 1. Journal Entry
 2. Batch Header
 3. Deposit Summary
 4. Receipt Order with Supporting Documentation
 5. Proof Report **Note:** Proof Reports should only be included for HPM, Payroll, and Athletics

I hereby certify that this document has been prepped according to The University of Houston and The State of Texas Standards.

Signature: _____ Date: _____

Document Imaging

- ☐ The preparation process has been reviewed before scanning the document
- ☐ The image is of exceptional quality, blank pages have been deleted, and pages are rotated in the correct fashion
- ☐ The batch title has been reviewed within the FJ Shared Folder
- ☐ The page numbers has been verified
- ☐ The electronic document has been verified that it is accessible and that it can be open

I hereby certify that this document has been reviewed and imaged according to The University of Houston and The State of Texas Standards.

Signature: _____ Date: _____

Review

- ☐ The document has been reviewed for compliance and quality assurance

I hereby certify that this document has been reviewed according to The University of Houston and The State of Texas Standards; therefore, this electronic document is the official government document from hence on.

Signature: _____ Date: _____

Sarah Thomas, Project Manager, Gift Management, 8/31/2016

Electronic Records Management Program Roles

Prepper

- Reviews for compliance standards
- Redacts confidential information
- Removes staples and clips
- Ensures that the batch has all the correct correlating documentation
- Organizes batch in correct order

Scanner

- Scans documents
- Page numbers have been verified
- Quality of image
- Batch title review
- Check electronic file to make sure it opens

Reviewer

- Reviews the batch for compliance, quality of image, page number, file name, the file can be located, and the file can open

Compliance Officer and Administrator

- Ensures program is aligned with institutional, State, and federal standards
- Administers all document imaging software

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Challenges

Batch prepping time has increased due to the new quality assurance techniques deployed

The "Sticker Situation"

Getting out of the mindset of "Well this is the way we always have done it or we tried this 7 years ago or scanning is just not important"

Getting staff comfortable deploying a small technology implementation project to be prepared for a "much larger" technology project

Understanding that batch scanning is just not scanning paper but it's a part of a Electronic Records Management Program

New Staff vs. Well Seasoned Staff

Tech Savvy Vs. Not

Change is not overnight

The process is very long and time consuming



Results

Document imaging of batch documentation's quality assurance has increased

Batch scanning time decreased from 20 min. per 50 page batch to 30 sec. per 50 page batch

Staff no longer have to cut and paste documents together for the scanner to accept

There is no back logged batches to be scanned (FY17)

Batches are scanned within the 8 hours after batch has closed

Staff have a better understanding of electronic record management and compliance standards

Team building, process mapping, and trainings have made the team feel more comfortable utilizing technology and have enhanced their skills

Staff no longer have to manually search for batch files

Staff feel more empowered and engaged since deploying process mapping and team activities

There are assigned roles within the Electronic Records Management Program (Prepper, Scanner, Reviewer, and Compliance)



Also.....

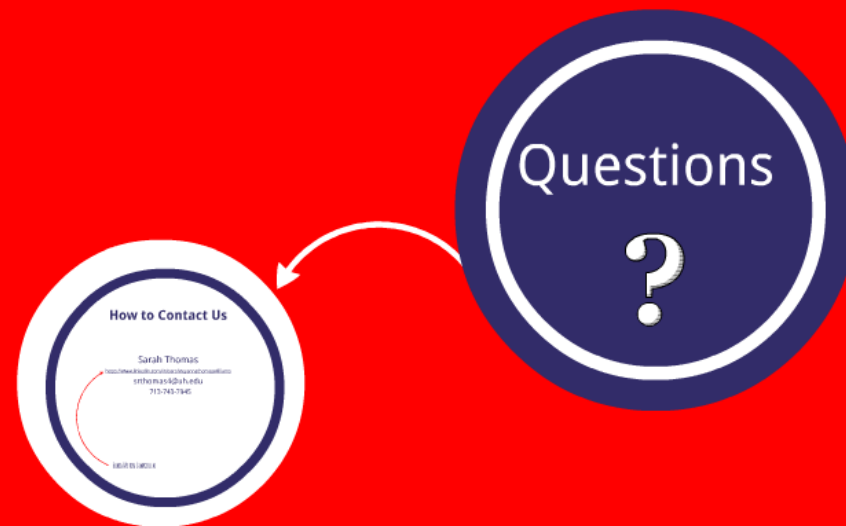
Process mapping has helped us configure our document imaging software to increase the scanning efficiency and automate the scanning process

We now have configured the scanner to extract the batch number from the Batch Cover (Using OCR) and then auto populate the document name

Then it automatically sends the file to the correct shared folder

We are currently using patch code separators to scan multiple batches at once

OCR-OPTIC





Questions

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